

Methodological Guidance Manual

Learn and Connect

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S³ THEMATIC PLATFORMS DAYS

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AGRI-FOOD

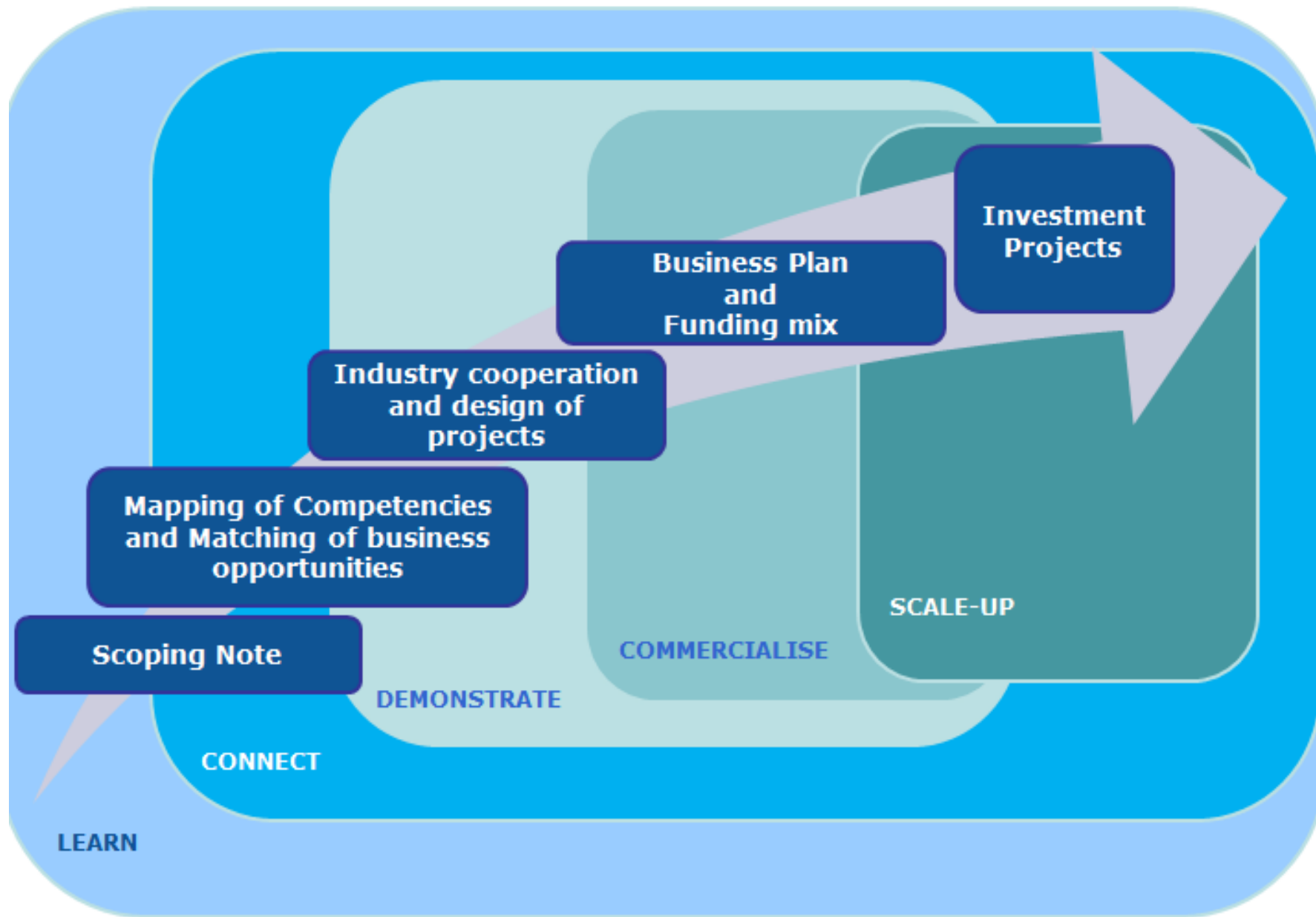


ENERGY



INDUSTRIAL
MODERNISATION

Vanguard Initiative Methodology



THEMATIC S3 APPROACH TO INTERREGIONAL S3 PARTNERSHIPS

- The '*Why*' Question
- Where it all started: About the Vanguard Initiative
- (Global) Value chain approach

What to Expect:

- INTRODUCTION & RATIONALE
- CHAPTER 1: LEARN PHASE
- CHAPTER 2: CONNECT PHASE
 - 2.1 MAPPING REGIONAL CAPABILITIES AND PARTNER COMPETENCIES
 - 2.2 MATCHING OF BUSINESS OPPORTUNITIES , PROJECTS AND STAKEHOLDERS

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Examples, Planning Tips and Summaries

Examples

coordinated and managed structure is included as an example of a governance structure.

Example 8. Sustainable Buildings Partnership - Governance. The governance system of this partnership was set up through a flexible and participative approach to allow active contribution of all relevant actors in each field of intervention. Led by Andalusia (ES) and co-led by Eszaki-Alfold (HU), the partnership has engaged over 40 European regions that work in three priority areas: eco-construction, renewable energy integration in buildings and energy efficiency. In addition to putting in place a dedicated *steering committee*, the partnership's governance includes a number of *working groups*. Partner regions are responsible for these working groups. As an element of their partnership governance and identity, partner regions willing to pay an active role are expected to commit to respecting a set of ethics (a number of key principles):

- Follow the agreed work plan and related activities;
- Identify both regional/local capacities & synergies with related initiatives;
- Disseminate the information about various partnership activities and results;
- Advance the partnership through the implementation of planned actions and building synergies;
- Evaluate to improve any previous or current work; and
- Provide regular feedback from the partnership to regional RIS3 processes.

Choosing the Right Organisational Model

Partner regions should also consider as to whether their partnership should take a specific *organisational or legal form*. Below are some of the more popular options open to thematic partnerships:

- Setting up an independent legal entity;
- Operating on the basis of a Memorandum of Understanding (as a form of cooperation agreement);
- Utilising a structure offered by an existing consortium/network;
- Operating as a project-based partnership – an ad hoc consortium that depends on calls or EU funding programmes.

The following guiding principles can help partnerships identify the best organisational model and a corresponding structure:

- What is the preferred organisational structure for the partnership?
- Who manages and who has the final say when it comes to decision-making?
- What rules govern this decision-making?
- Will any operational packages (such as event management, communicational and promotional activities) be divided between all partner regions?
- How will partner regions share financial and human costs?
- How will partner divide the responsibility for specific agreed actions (such as thematic working groups, joint project developments, educational and training activities)?

When choosing its *organisational model*, each partnership should ensure it allows keeping it open to new members. The model should allow the partnership to explore and develop synergies with other (regional, national and transnational) initiatives.

Planning tip: The chosen organisational form should ideally ensure that partner regions are able to share any administrative, operational, communication and other workload and costs associated with the partnership management.

Planning Tips

Governance Structure and Scope

A set of governing rules provides partner regions with a working framework for its current and future interactions, facilitates further interventions and allows enhancing its collaborative capacity. A solid governance structure allows lead regions to take decisions, assign roles and distribute tasks as efficiently as possible. The governing rules would define any limits or boundaries of each partnership. In line with the S3 approach, a good governance structure can help identify new strategic areas and discard activities that do not contribute to its objective(s). Furthermore, a good governance system helps develop strategic relations with the stakeholders pursuing the partnership's overall objective(s).

When deciding on its governance structure, each partnership should consider different possible configurations. What is important here is to ensure that the selected structure is efficient and facilitates taking decisions and carrying out foreseen activities. *Example 9* below illustrates a governance scheme adopted by an existing thematic partnership.

Examples

Example 9. Sustainable Buildings Partnership - Governance



This section discussed that behind every strong partnership there is a solid governance structure. Specifically, the section discussed four different governance models. It also provided an example of a governance structure adopted by an existing partnership.

Summary: Learn Phase

Summaries

This chapter discusses the *Learn* phase. It recognises that fulfilling a number of knowledge requirements and establishing an explicit regional commitment are key elements in the foundation of a strong and sustainable thematic S3 partnership. While various elements associated with the *Learn* phase have been covered in detail in this chapter, new elements can emerge as a result of acquiring any additional and complementary knowledge throughout the lifecycle of each interregional S3 partnership. In other words, the *Learn* phase helps partner regions to put in place a feedback instrument which would later help partnership improve its results with each step.

More concretely, this session highlights five key elements to be considered when exercising the *Learn* phase. (i) Linking concrete domains and RIS3 priorities can help develop a collaborative framework.

⁴⁹ Source: Andalusian Energy Agency

Extended Examples and Templates

Appendix 1: The basic content of opinion leader questionnaire (for industrial leaders).

<p>Contact details and sectors</p> <ul style="list-style-type: none"> • Name of the person interviewed • Contact details • The name of economic activities • Other elements
<p>Sources of innovations</p> <ul style="list-style-type: none"> • Product/service • Process • Market/niche • Finance • Co-creation • Crowdsourcing • Collaborative economy • Other elements
<p>Barriers to transformation</p> <ul style="list-style-type: none"> • The process involves high investment cost • Difficult access to Finance for implementing the innovation programme • Change resistance and tendency for 'business as usual' • The staff do not have the necessary skills and competences • The company/institution is concerned about cybersecurity • The access to technology is difficult • Regulatory framework • Other elements
<p>Accuracy of identified partnership areas to address the barriers and interest in joining</p> <ul style="list-style-type: none"> • List of the areas identified in the scoping note
<p>Possible policy instruments</p> <ul style="list-style-type: none"> • Shared technology centre • Shared service facility • Financial instrument • Trans-regional support tool • Cross border investment platform • Large-scale project • Large scale infrastructural project
<p>Validation of current investment area</p> <ul style="list-style-type: none"> • The relevance of the current one to support the transition of the business (in 10 year time)? • Endorsees and interests in supporting it of the area • If positive, a way of involvement

Source: ReConfirm (SME integration to Industry 4.0)

Note: The questionnaire refers to various manufacturing sectors. It is to be adjusted to partnerships' thematic area and objectives.

Appendix 2: The basic content of opinion targeted group questionnaire (SMEs).

<p>Characterisation of the company</p> <ul style="list-style-type: none"> • Company information Name of the company, the person who answers the questionnaire, size, country, region, activity sector. • Strategic formulation and management systems Strategic plan, importance of specific factor, e.g. digitalisation on the business, priority area of this factor in business processes (R&D, production, sales & marketing, logistics & warehouse), management systems. • Information systems Types of IS used, their compliance with systems of suppliers and customers, data analysis centre. • Human resources Training plan, accuracy to address specific factor, assessment of HR competence regarding this factor.
<p>Characterisation of the production process</p> <ul style="list-style-type: none"> • Design and manufacturing R&D, innovation, development and products design units, supporting ICT systems, interconnection between them, and parameters to be obtained, in production technologies used. • Product/Service/ Market Information describing product/ service and market • Logistics Logistic plan and system (warehouse, stock, demand, supply chain, fleet management) • Installations and maintenance Remote monitoring system, predictive maintenance systems
<p>Energy efficiency and sustainability</p> <ul style="list-style-type: none"> • Energy Efficiency Energy audit, energy monitoring system, approach for energy improvement, trainings about importance of energy saving • ICT Type of ICT provided or developed.
<p>Barriers and difficulties in digitization</p> <ul style="list-style-type: none"> • A list of barriers of the digitization of the company • Investments planned/needed Training, employ new staff, machinery and equipment, ICT, new business models, improving the performances of the suppliers (technology/organisation), selecting and certifying new and better equipped suppliers
<p>Company's value chain</p> <ul style="list-style-type: none"> • The information which position the company in the global value chain perspective in terms of suppliers, international value chain connections.

Source: ReConfirm (SME integration to Industry 4.0)

Note: Please note that the content of the questionnaire refers to manufacturing sectors. It should be adjusted to partnerships' specificity, objectives and needs.

Three *Easy-to-Understand* Checklists

Checklist 1: Results and Outcomes associated with the Learn Phase

The following checklist summarises all key outcomes that each thematic partnership should obtain prior to embarking on the next Connect phase. The list is non-exhaustive and could include additional elements.

	Yes	No
The expected interregional collaboration is duly linked to concrete or complementary domains of the smart specialisation strategies of partner regions.	<input type="checkbox"/>	<input type="checkbox"/>
Partnership initiators and potential partner regions are sufficiently familiar with the available EU instruments supporting interregional cooperation frameworks for smart specialisation.	<input type="checkbox"/>	<input type="checkbox"/>
Partner regions have a sound knowledge of national and regional public funds, and private resources allocated to innovation as a way to establish effective synergies.	<input type="checkbox"/>	<input type="checkbox"/>
Political commitment at regional level has been explored and engaged in each partner region.	<input type="checkbox"/>	<input type="checkbox"/>
Sufficient critical mass for establishing thematic S3 collaboration is in place, including the identification of potential partners pursuing similar and/or complementary investment interests.	<input type="checkbox"/>	<input type="checkbox"/>
An expression of interest has been developed and submitted to the European Commission.	<input type="checkbox"/>	<input type="checkbox"/>
A scoping note is developed and endorsed by partner regions as a driving tool of the partnership.	<input type="checkbox"/>	<input type="checkbox"/>
Governance rules of the thematic S3 partnership has been designed, discussed and endorsed by partner regions.	<input type="checkbox"/>	<input type="checkbox"/>

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Checklist 2: Outcomes associated with the Connect Phase (Mapping*)

The following checklist summarises all key outcomes associated with the mapping step of the Connect phase. The list is non-exhaustive and could include additional elements.

	Yes	No
1. Assessment of strategic documents:	<input type="checkbox"/>	<input type="checkbox"/>
1.1 Analysis of S3 strategies, operational programs and other sectoral strategies	<input type="checkbox"/>	<input type="checkbox"/>
1.2 Interview with regional representatives and experts	<input type="checkbox"/>	<input type="checkbox"/>
2. Sectoral analysis	<input type="checkbox"/>	<input type="checkbox"/>
2.1 Analysis of existing sectoral documents, reports from industry associations	<input type="checkbox"/>	<input type="checkbox"/>
2.2 Professional literature	<input type="checkbox"/>	<input type="checkbox"/>
2.3 Statistical data	<input type="checkbox"/>	<input type="checkbox"/>
3. Analysis of economic potential	<input type="checkbox"/>	<input type="checkbox"/>
3.1 Analysis based on location quotients and value chain analysis	<input type="checkbox"/>	<input type="checkbox"/>
4. Analysis of scientific and research potential	<input type="checkbox"/>	<input type="checkbox"/>
4.1 Based on survey with partner regions	<input type="checkbox"/>	<input type="checkbox"/>
4.2 Patent and publication data analysis	<input type="checkbox"/>	<input type="checkbox"/>
4.3 Interviews with representatives of research sector	<input type="checkbox"/>	<input type="checkbox"/>
5. Definition of preliminary investment areas	<input type="checkbox"/>	<input type="checkbox"/>
6. Verification of investment areas	<input type="checkbox"/>	<input type="checkbox"/>
6.1 Interviews	<input type="checkbox"/>	<input type="checkbox"/>
6.2 Surveys	<input type="checkbox"/>	<input type="checkbox"/>
6.3 Regional workshops	<input type="checkbox"/>	<input type="checkbox"/>
7. Qualitative mapping	<input type="checkbox"/>	<input type="checkbox"/>
7.1 Through survey, discussion with stakeholders	<input type="checkbox"/>	<input type="checkbox"/>
7.2 Through ORBIS database	<input type="checkbox"/>	<input type="checkbox"/>
8. Review mechanism for mapping in place	<input type="checkbox"/>	<input type="checkbox"/>
8.1 Through evaluation framework	<input type="checkbox"/>	<input type="checkbox"/>

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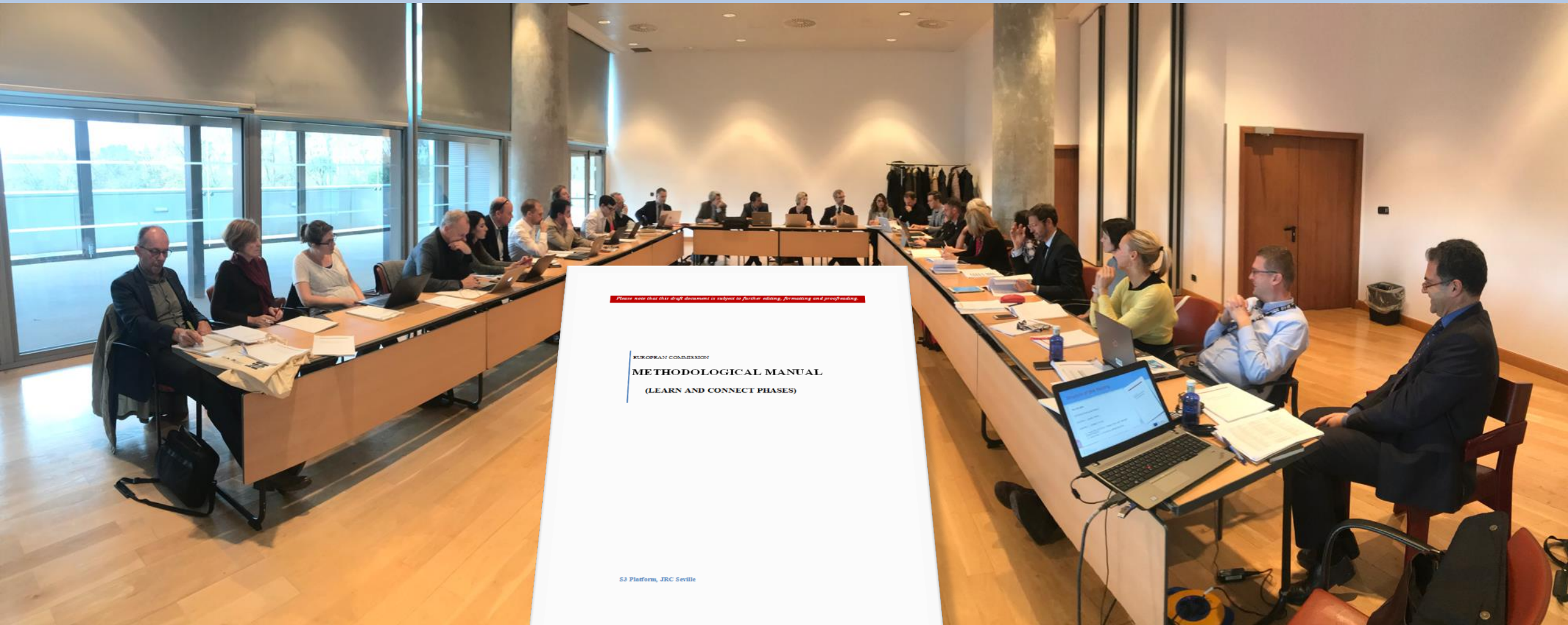
Checklist 3: Results and Outcomes associated the Matching+ step (Connect Phase)

The following checklist summarises all key outcomes associated with the matching of business opportunities step of the Connect phase. The list is non-exhaustive and could include additional elements.

	Yes	No
3.1. Have you developed a questionnaire to gather information regarding the state of play in the investment area?	<input type="checkbox"/>	<input type="checkbox"/>
3.2. Have you developed a questionnaire on business needs with enterprises?	<input type="checkbox"/>	<input type="checkbox"/>
3.3. Have you been able to define a clear rationale for each proposed investment area listing technology level assessment, any existing and missing assets and competences?	<input type="checkbox"/>	<input type="checkbox"/>
3.4. Have you developed a proposal for joint activities with potential partners, intermediaries, estimated cost and timeline?	<input type="checkbox"/>	<input type="checkbox"/>
3.5. Have you organised matchmaking events for each investment area?	<input type="checkbox"/>	<input type="checkbox"/>
3.6. Have all relevant stakeholders presented (pitched) their project proposals at dedicated matchmaking events?	<input type="checkbox"/>	<input type="checkbox"/>
3.7. Have you analysed (harvested) the results of matchmaking events?	<input type="checkbox"/>	<input type="checkbox"/>
3.8. Have you prepared a number of focused project ideas for the <i>Demonstrate phase</i> ?	<input type="checkbox"/>	<input type="checkbox"/>
3.9. Have you put in place a review mechanism to re-assess investment areas and their value added?	<input type="checkbox"/>	<input type="checkbox"/>

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Thank you for your feedback!





Thanks

Any questions?

Any suggestions? Please send these to:
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